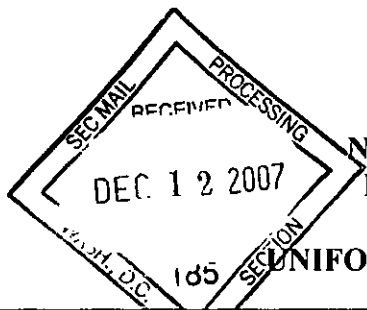


UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

FORM D



NOTICE OF SALE OF SECURITIES
PURSUANT TO REGULATION D,
SECTION 4(6), AND/OR
UNIFORM LIMITED OFFERING EXEMPTION

1421229

OMB APPROVAL	
OMB Number:	3235-0076
Expires:	April 30, 2008
Estimated average burden hours per response	16

SEC USE ONLY	
Prefix	Serial
DATE RECEIVED	

Name of Offering (☐ check if this is an amendment and name has changed, and indicate change.)

Membership Interests

Filing Under (Check box(es) that apply): ☐ Rule 504 ☐ Rule 505 ☒ Rule 506 ☐ Section 4(6) ☐ ULOE
Type of Filing: ☒ New Filing ☐ Amendment

A. BASIC IDENTIFICATION DATA

I. Enter the information requested about the issuer

Name of Issuer (☐ check if this is an amendment and name has changed, and indicate change.)

Ridgewood Energy X Fund, LLC

Address of Executive Offices (Number and Street, City, State, Zip Code) Telephone Number (Including Area Code)
947 Linwood Avenue, Ridgewood, NJ 07450 201-447-9000

Address of Principal Business Operations (if different from Executive Offices) (Number and Street, City, State, Zip Code) Telephone Number (Including Area Code)

Brief Description of Business:

To acquire interests in oil and natural gas properties

Type of Business Organization

- ☐ corporation ☐ limited partnership, already formed ☒ other (please specify): limited liability company
☐ business trust ☐ limited partnership, to be formed

Actual or Estimated Date of Incorporation or Organization: Month 08 Year 07 ☒ Actual ☐ Estimated
Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State: D E)
CN for Canada; FN for other foreign jurisdiction)

GENERAL INSTRUCTIONS

Federal:

Who Must File: All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 U.S.C. 77d(6).

When To File: A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.

Where To File: U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.

Copies Required: Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

Information Required: A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.

Filing Fee: There is no federal filing fee.

State:

This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires the payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.



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A. BASIC IDENTIFICATION DATA

2. Enter the information requested for the following:

- Each promoter of the issuer, if the issuer has been organized within the past five years;
- Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer;
- Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and
- Each general and managing partner of partnership issuers.

Check Box(es) that Apply: ☒ Promoter ☒ Beneficial Owner ☐ Executive Officer ☐ Director ☒ Managing Member

Full Name (Last name first, if individual)

Ridgewood Energy Corporation

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☒ Promoter ☒ Beneficial Owner ☒ Executive Officer ☒ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Swanson, Robert E.

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Gold, Robert L.

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

McSherry, Kathleen

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Tabor, Greg

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Gulino, Daniel

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Valdes, Mirna

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

B. INFORMATION ABOUT OFFERING

1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering? Yes ☐ No ☒
- Answer also in Appendix, Column 2, if filing under ULOE.
2. What is the minimum investment that will be accepted from any individual? \$100,000
3. Does the offering permit joint ownership of a single unit? Yes ☒ No ☐
4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only.

Full Name (Last name first, if individual)

See Attached

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

[AL]	[AK]	[AZ]	[AR]	[CA]	[CO]	[CT]	[DE]	[DC]	[FL]	[GA]	[HI]	[ID]
[IL]	[IN]	[IA]	[KS]	[KY]	[LA]	[ME]	[MD]	[MA]	[MI]	[MN]	[MS]	[MO]
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[RI]	[SC]	[SD]	[TN]	[TX]	[UT]	[VT]	[VA]	[WA]	[WV]	[WI]	[WY]	[PR]

(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

1. Enter the aggregate offering price of securities included in this offering and the total amount already sold. Enter "0" if answer is "none" or "zero." If the transaction is an exchange offering, check this box ☐ and indicate in the columns below the amounts of the securities offered for exchange and already exchanged.

Type of Security	Aggregate offering Price	Amount Already Sold
Debt.....	\$	\$
Equity.....		
☐ Common ☐ Preferred	\$	\$
Convertible Securities (including warrants).....	\$	\$
Partnership Interests.....	\$	\$
Other (Specify <u>voting, redeemable participating shares</u>).....	\$ 100,000,000*	\$ 0
Total.....	\$ 100,000,000*	\$ 0

Answer also in Appendix, Column 3, if filing under ULOE.

* may be increased to \$185,000,000 or more

2. Enter the number of accredited and non-accredited investors who have purchased securities in this offering and the aggregate dollar amounts of their purchases. For offerings under Rule 504, indicate the number of persons who have purchased securities and the aggregate dollar amount of their purchases on the total lines. Enter "0" if answer is "none" or "zero."

	Number Investors	Aggregate Dollar Amount of Purchases
Accredited Investors.....	0	\$ 0
Non-accredited Investors.....		\$
Total (for filings under Rule 504 only).....		\$

Answer also in Appendix, Column 4, if filing under ULOE.

3. If this filing is for an offering under Rule 504 or 505, enter the information requested for all securities sold by the issuer, to date, in offerings of the types indicated, in the twelve (12) months prior to the first sale of securities in this offering. Classify securities by type listed in Part C – Question 1.

Type of Offering	Type of Security	Dollar Amount Sold
Rule 505.....		\$
Regulation A.....		\$
Rule 504.....		\$
Total.....		\$

4. a. Furnish a statement of all expenses in connection with the issuance and distribution of the securities in this offering. Exclude amounts relating solely to organization expenses of the issuer. The information may be given as subject to future contingencies. If the amount of an expenditure is not known, furnish an estimate and check the box to the left of the estimate.

Transfer Agent's Fees.....	☐	\$
Printing and Engraving Costs.....	☒	\$ 10,000
Legal Fees.....	☒	\$ 20,000
Accounting Fees.....	☒	\$ 4,000
Engineering Fees.....	☒	\$ 20,000
Sales Commissions (specify finders' fees separately).....	☒	\$ 9,000,000
Other Expenses (identify) filing fees, miscellaneous operating and marketing costs ...	☒	\$ 3,500,000
Total.....	☒	\$ 12,554,000

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

b. Enter the difference between the aggregate offering price given in response to Part C - Question 1 and total expenses furnished in response to Part C - Question 4.a. This difference is the "adjusted gross proceeds to the issuer."

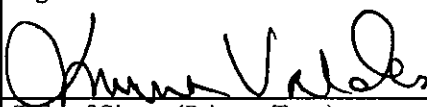
\$ 87,446,000

5. Indicate below the amount of the adjusted gross proceeds to the issuer used or proposed to be used for each of the purposes shown. If the amount for any purpose is not known, furnish an estimate and check the box to the left of the estimate. The total of the payments listed must equal the adjusted gross proceeds to the issuer set forth in response to Part C - Question 4.b above.

	Payments to Officers, Directors & Affiliates	Payments To Others
Salaries and fees	☒ \$ <u>4,500,000</u>	☐ \$ _____
Purchase of real estate	☐ \$ _____	☐ \$ _____
Purchase, rental or leasing and installation of machinery and equipment	☐ \$ _____	☐ \$ _____
Construction or leasing of plant buildings and facilities	☐ \$ _____	☐ \$ _____
Acquisition of other businesses (including the value of securities involved in this offering that may be used in exchange for the assets or securities of another issuer pursuant to a merger).....	☐ \$ _____	☐ \$ _____
Repayment of indebtedness.....	☐ \$ _____	☐ \$ _____
Working capital	☐ \$ _____	☐ \$ _____
Other (specify): <u>to acquire interests in oil and gas properties, drilling and development costs</u>	☐ \$ _____	☒ \$ <u>80,446,000</u>
reserve for administrative overhead	☒ \$ <u>2,500,000</u>	
Column Totals	☒ \$ <u>7,000,000</u>	☒ \$ <u>80,446,000</u>
Total Payments Listed (column totals added)		☒ \$ <u>\$87,446,000</u>

D. FEDERAL SIGNATURE

The issuer has duly caused this notice to be signed by the undersigned duly authorized person. If this notice is filed under Rule 505, the following signature constitutes an undertaking by the issuer to furnish to the U.S. Securities and Exchange Commission, upon written request of its staff, the information furnished by the issuer to any non-accredited investor pursuant to paragraph (b)(2) of Rule 502.

Issuer (Print or Type) Ridgewood Energy X Fund, LLC	Signature 	Date December 4, 2007
Name of Signer (Print or Type) Mirna Valdes	Title of Signer (Print or Type) Vice President of the Manager	

ATTENTION

Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)

B. INFORMATION ABOUT OFFERING

Full name (Last name first, if individual)
Dyer, David

Business or Residence Address (Number and Street, City, State, Zip Code)
One Ward Parkway, Suite 345, Kansas City, MO 64112

Name of Associated Broker or Dealer
Alliance Affiliated Equities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Thomas, Jack

Business or Residence Address (Number and Street, City, State, Zip Code)
121 N. 9th Street - #301, Boise, ID 83702

Name of Associated Broker or Dealer
AFA Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Tidings, Bettye

Business or Residence Address (Number and Street, City, State, Zip Code)
22471 Aspan Street, Suite 203, Lake Forest, CA 92630-1644

Name of Associated Broker or Dealer
AFA Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)
2800 North Central Avenue, Suite 2100, Phoenix, AZ 85004

Name of Associated Broker or Dealer
AIG Financial Advisors Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☒ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Bishop, Benjamin C., Jr.

Business or Residence Address (Number and Street, City, State, Zip Code)

50 North Laura Street, Suite 3625, Jacksonville, FL 32202

Name of Associated Broker or Dealer

Allen C. Ewing & Company

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

2300 Windy Ridge Parkway, Suite 1100, Atlanta, GA 30339

Name of Associated Broker or Dealer

American General Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☒ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Williams, Paul

Business or Residence Address (Number and Street, City, State, Zip Code)

2753 Comstock Circle, Belmont, CA 94002

Name of Associated Broker or Dealer

American Investors Company

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Lawless, Paul

Business or Residence Address (Number and Street, City, State, Zip Code)

1877 S. Federal Investment Corp., Suite 210, Boca Raton, FL 33432

Name of Associated Broker or Dealer
Ameritas Investment Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
McCarte, Robert E.

Business or Residence Address (Number and Street, City, State, Zip Code)
3308 Sweetwater Boulevard, Murrells Inlet, SC 29576

Name of Associated Broker or Dealer
Basic Investors

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☐ [MO]
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Full name (Last name first, if individual)
Azodi, Johanguir (John)

Business or Residence Address (Number and Street, City, State, Zip Code)
6051 N. Chestnut Avenue, Suite B, Gladstone, MO 64119

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Krentz, Stephen D.

Business or Residence Address (Number and Street, City, State, Zip Code)
Berthel Fisher, 443 Union Place - Suite 101, Excelsior, MN 55331

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Wood, George

Business or Residence Address (Number and Street, City, State, Zip Code)
3006 Loveland Cove, Austin, TX 78746

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Harmon, Jamie

Business or Residence Address (Number and Street, City, State, Zip Code)
Cape Trust Financial Services, Inc., 901 Main Street, Osterville, MA 02655

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)
Mawdsley, Matthew

Business or Residence Address (Number and Street, City, State, Zip Code)
Carlton & Associates, Inc., 600 W. Republic Road, Suite A-100, Springfield, MO 65807

Name of Associated Broker or Dealer
Carlton & Associates, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)
Zhukov, Boris A.

Business or Residence Address (Number and Street, City, State, Zip Code)
5400 Glenwood Avenue, Suite 301, Raleigh, NC 27612

Name of Associated Broker or Dealer
Capital Financial Services Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Kitashima, Cheryl L. (1787)

Business or Residence Address (Number and Street, City, State, Zip Code)
2200 Sixth Avenue, Suite 408, Seattle, WA 98121

Name of Associated Broker or Dealer
Centaurus Financial Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Mitchell, John J.

Business or Residence Address (Number and Street, City, State, Zip Code)
2900 Bristol Street, Suite A-107, Costa Mesa, CA 92626

Name of Associated Broker or Dealer
Centaurus Financial Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Scully, John #1525

Business or Residence Address (Number and Street, City, State, Zip Code)

450 Skokie Boulevard, Suite 301, Northbrook, IL 60062

Name of Associated Broker or Dealer

Centaurus Financial Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full name (Last name first, if individual)

Harris, David

Business or Residence Address (Number and Street, City, State, Zip Code)

222 Mamaroneck Avenue, White Plains, NY 10605

Name of Associated Broker or Dealer

Chester Harris & Company

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Michitsch, Heidi

Business or Residence Address (Number and Street, City, State, Zip Code)

115 East 87th Street, Apt. 39E, New York, NY 10128

Name of Associated Broker or Dealer

Clark Dodge & Company

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Bowman, John William

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Investmark Financial Services, Fairfield Corporation Centre, 75 Kings Highway Cutoff-5th Floor, Fairfield, CT 06824

Name of Associated Broker or Dealer

Commonwealth Financial Network

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Liberty, Richard

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Liberty Investment Advisors, Liberty Acres, 23 No. Raymond Road, Gray, ME 04039

Name of Associated Broker or Dealer

Commonwealth Financial Network

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full name (Last name first, if individual)

Pease, Richard

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Investmark, 4911 Silver Fern Drive, Sarasota, FL 34241

Name of Associated Broker or Dealer

Commonwealth Financial Network

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full name (Last name first, if individual)

Taverna, Anthony

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Taverna Associates Inc., 330 Railroad Avenue, Greenwich, CT 06830

Name of Associated Broker or Dealer

Commonwealth Financial Network

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

725 Town & Country Road, Suite 530, Orange, CA 92868

Name of Associated Broker or Dealer
Crown Capital Securities L.P.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)
Cadwell, John H. (NB-01)

Business or Residence Address (Number and Street, City, State, Zip Code)
881 Dover Drive, Suite 11, Newport Beach, CA 92663

Name of Associated Broker or Dealer
Cullum & Burks Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Corbett, Anthony S.

Business or Residence Address (Number and Street, City, State, Zip Code)
150 East 52nd Street, 3rd Floor, New York, NY 10022

Name of Associated Broker or Dealer
Dominick & Dominick, LLC

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Brown, Alexander P.

Business or Residence Address (Number and Street, City, State, Zip Code)
1700 Pennsylvania Avenue - 7th Floor, Washington, DC 20006

Name of Associated Broker or Dealer
Ferris Baker Watts

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☐ [TX]	☐ [UT]	☐ [VT]	☒ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

Full name (Last name first, if individual)
Dennis, Kirk

Business or Residence Address (Number and Street, City, State, Zip Code)

1834 Main Street, Baker City, OR 97814

Name of Associated Broker or Dealer

Financial West Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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☐ [MT]	☐ [NE]	☐ [NV]	☐ [NH]	☐ [NJ]	☐ [NM]	☐ [NY]	☐ [NC]	☐ [ND]	☐ [OH]	☒ [OK]	☒ [OR]	☐ [PA]
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Full name (Last name first, if individual)

Masover, Joan

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Iowa Progressive Asset Management, 505 North 4th Street, Suite 200, Fairfield, IA 52556

Name of Associated Broker or Dealer

Financial West Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

2300 Windy Ridge Parkway, Suite 1100, Atlanta, GA 30339

Name of Associated Broker or Dealer

FSC Securities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☒ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

4700 S. Syracuse Parkway, Suite 1000, Denver, CO 80237

Name of Associated Broker or Dealer

Geneos Wealth Management

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Hrycyk, Stephanie

Business or Residence Address (Number and Street, City, State, Zip Code)

3000 S.W. 27th Avenue, Amarillo, TX 79109

Name of Associated Broker or Dealer

Gramercy Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Ford, Harvey

Business or Residence Address (Number and Street, City, State, Zip Code)

507 West 18th, Austin, TX 78701

Name of Associated Broker or Dealer

Gunn Allen Financial

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Wyatt, Kirtis

Business or Residence Address (Number and Street, City, State, Zip Code)

13900 CR 42, Mancos, CO 81328

Name of Associated Broker or Dealer

Gunn Allen Financial

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

24901 Northwestern highway, Suite 710, Southfield, MI 48075

Name of Associated Broker or Dealer

Hantz Financial Services, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Molloy, Arthur (A-23)

Business or Residence Address (Number and Street, City, State, Zip Code)

3636 Nobel Drive, #170, San Diego, CA 92122

Name of Associated Broker or Dealer

Independent Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Means, Patricia

Business or Residence Address (Number and Street, City, State, Zip Code)

5251-18 John Tyler Highway, #338, Williamsburg, VA 23185

Name of Associated Broker or Dealer

Independent Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Carlin, Michael

Business or Residence Address (Number and Street, City, State, Zip Code)

Axiom Advisory Services, LLC, 7098 E. Cochise Road, Suite 222, Scottsdale, AZ 85251

Name of Associated Broker or Dealer

Independent Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Shea, Patrick Terry

Business or Residence Address (Number and Street, City, State, Zip Code)

15 Mae Court, Novato, CA 94947

Name of Associated Broker or Dealer
Independent Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Ward, John F.

Business or Residence Address (Number and Street, City, State, Zip Code)
20 Trailview Court, Novato, CA 94945

Name of Associated Broker or Dealer
Independent Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full name (Last name first, if individual)
Anderson, Terry

Business or Residence Address (Number and Street, City, State, Zip Code)
18540 Plainview Road, Bend, OR 97701

Name of Associated Broker or Dealer
Investors Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Davis, Miles O.

Business or Residence Address (Number and Street, City, State, Zip Code)
P.O. Box 2050, Bethel Island, CA 94511

Name of Associated Broker or Dealer
Investors Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Hurst, Larrie E.

Business or Residence Address (Number and Street, City, State, Zip Code)
3 Queen Anne Lane, Hingham, MA 02043

Name of Associated Broker or Dealer
Investors Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Connor, James P., II

Business or Residence Address (Number and Street, City, State, Zip Code)
38 Triangle Park Drive, Suite 3802, Cincinnati, OH 45246

Name of Associated Broker or Dealer
Investors Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Simha, Devendranath

Business or Residence Address (Number and Street, City, State, Zip Code)
2 Yardley Road, Andover, MA 01810

Name of Associated Broker or Dealer
Investors Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)
570 Carillon Parkway, St. Petersburg, FL 33716

Name of Associated Broker or Dealer
InterSecurities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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☐ [MT]	☐ [NE]	☐ [NV]	☐ [NH]	☐ [NJ]	☐ [NM]	☐ [NY]	☐ [NC]	☐ [ND]	☒ [OH]	☐ [OK]	☐ [OR]	☐ [PA]
☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☒ [TX]	☐ [UT]	☐ [VT]	☐ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

Full name (Last name first, if individual)

Short, William A.

Business or Residence Address (Number and Street, City, State, Zip Code)

3550 Buschwood Park Drive, Suite 135, Tampa, FL 33618

Name of Associated Broker or Dealer

JW Cole Financial

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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☐ [MT]	☐ [NE]	☐ [NV]	☐ [NH]	☐ [NJ]	☐ [NM]	☐ [NY]	☐ [NC]	☐ [ND]	☐ [OH]	☐ [OK]	☐ [OR]	☐ [PA]
☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☐ [TX]	☐ [UT]	☐ [VT]	☐ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

Full name (Last name first, if individual)

Langhofer, Chad

Business or Residence Address (Number and Street, City, State, Zip Code)

Langhofer Financial Group, 105 S. Andover Road, Suite B, Andover, KS 67002

Name of Associated Broker or Dealer

Main Street Securities, LLC

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Flater, Gary

Business or Residence Address (Number and Street, City, State, Zip Code)

1551 N. Tustin Avenue, Suite 960, Santa Ana, CA 92705

Name of Associated Broker or Dealer

MCL Financial Group Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

McCall, John "Sandy"

Business or Residence Address (Number and Street, City, State, Zip Code)

P. O. Box 701928, San Antonio, TX 78270-1928

Name of Associated Broker or Dealer

McNally Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Busbin, Brad

Business or Residence Address (Number and Street, City, State, Zip Code)

951 Market Promenade Avenue, Suite 2100, Lake Mary, FL 32746

Name of Associated Broker or Dealer

Merrimac Corporate Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Berquist, James F.

Business or Residence Address (Number and Street, City, State, Zip Code)

455 Valley Brook Road, McMurray, PA 15317

Name of Associated Broker or Dealer

Mid-Atlantic Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Wells, David W.

Business or Residence Address (Number and Street, City, State, Zip Code)

ECA Investment Group, 601 Carlisle St., Hanover, PA 17331

Name of Associated Broker or Dealer

Mid-Atlantic Capital Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Soltani, Bruce

Business or Residence Address (Number and Street, City, State, Zip Code)

12526 High Bluff Drive - Ste. 350, San Diego, CA 92130

Name of Associated Broker or Dealer

Midpoint Financial

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Truax, Nathan

Business or Residence Address (Number and Street, City, State, Zip Code)

12526 High Bluff Drive – Ste. 350, San Diego, CA 92130

Name of Associated Broker or Dealer

Midpoint Financial

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

National Securities, 2424 North Federal Highway, Suite 350, Boca Raton, FL 33431

Name of Associated Broker or Dealer

National Securities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☒ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

485 E. US Highway 1 South, Building E – 4th Floor, Iselin, NJ 08830-3009

Name of Associated Broker or Dealer

New England Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☒ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Golden, Shaun P.

Business or Residence Address (Number and Street, City, State, Zip Code)
Craig James Financial Services, LLC, 21 West Second Street, Suite 5, Riverhead, NY 11901

Name of Associated Broker or Dealer
Next Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Hoebbel, Eric

Business or Residence Address (Number and Street, City, State, Zip Code)
7575 Dr. Phillips Blvd, #330, Orlando, FL 32819

Name of Associated Broker or Dealer
Next Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)
Kulch, Charles C.

Business or Residence Address (Number and Street, City, State, Zip Code)
491 Amherst Street, Nashua, NH 03063

Name of Associated Broker or Dealer
Next Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)
1250 Capital of Texas Highway South, Bldg. 2 – Suite 600, Austin, TX 78746

Name of Associated Broker or Dealer
NFP Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☒ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Erickson, Jason

Business or Residence Address (Number and Street, City, State, Zip Code)

2101 W. 41st Street, Suite 112, Sioux Falls, SD 57105

Name of Associated Broker or Dealer

Okoboji Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Limmer, Don and Chris

Business or Residence Address (Number and Street, City, State, Zip Code)

P.O. Box 140, Brandon, SD 57005

Name of Associated Broker or Dealer

Okoboji Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Kerher, Ron

Business or Residence Address (Number and Street, City, State, Zip Code)

Kerher Capital Management, 335 N. Main Avenue, Suite 200, Sioux Falls, SD 57104

Name of Associated Broker or Dealer

Okoboji Financial Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Evans, Brent

Business or Residence Address (Number and Street, City, State, Zip Code)

1245 Brickyard Road, Suite 160, Salt Lake City, UT 84106

Name of Associated Broker or Dealer

Omni Brokerage

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☐ [TX]	☒ [UT]	☐ [VT]	☐ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

Full name (Last name first, if individual)

Harkavy, Larry

Business or Residence Address (Number and Street, City, State, Zip Code)

Fahnestock & Company, Inc., 700 Veterans Memorial Hwy, Ste. 120, Hauppauge, NY 11788

Name of Associated Broker or Dealer

Oppenheimer & Co.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

1 Renton Place, 555 S. Renton Village Pl., Suite 700, Renton, WA 98055

Name of Associated Broker or Dealer

Pacific West Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☒ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Ho, Cecilia

Business or Residence Address (Number and Street, City, State, Zip Code)

1885 The Alameda, #100A, San Jose, CA 95126

Name of Associated Broker or Dealer

Partnervest Financial Group LLC

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Pan, Sheri

Business or Residence Address (Number and Street, City, State, Zip Code)

226 Airport Parkway, Suite 310, San Jose, CA 95110

Name of Associated Broker or Dealer
Pension Planners Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)
4650 SW MacAdam Avenue, Ste. 220, Portland, OR 97239

Name of Associated Broker or Dealer
Private Consulting Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)
2801 Highway 280 South, Birmingham, AL 35223

Name of Associated Broker or Dealer
ProEquities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Cornaglia, Carl D.

Business or Residence Address (Number and Street, City, State, Zip Code)
American Heritage Financial, 15 So. Elm Street, Wallingford, CT 06492

Name of Associated Broker or Dealer
Questar Capital Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Hood, Janice

Business or Residence Address (Number and Street, City, State, Zip Code)
3830 Taylorsville Road, Suite 8-9, Louisville, KY 40220

Name of Associated Broker or Dealer
Questar Capital Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full name (Last name first, if individual)
Sundberg, Glen

Business or Residence Address (Number and Street, City, State, Zip Code)
601 NW 5th Street, Suite 5, Brainerd, MN 56401

Name of Associated Broker or Dealer
Questar Capital Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)
One World Financial Center, 14th Floor, New York, NY 10281

Name of Associated Broker or Dealer
Royal Alliance & Associates, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☒ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Wlosek, Ken

Business or Residence Address (Number and Street, City, State, Zip Code)
479 State Highway 17 N, Suite 1, Mahwah, NJ 07430

Name of Associated Broker or Dealer
Seward Groves Richard & Wells

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Prehmus, Warren

Business or Residence Address (Number and Street, City, State, Zip Code)

3930 E Jones Bridge Road, Suite 175, Norcross, GA 30092

Name of Associated Broker or Dealer

Strategic Financial Alliance Inc. (SFA)

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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☐ All States

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Full name (Last name first, if individual)

Lau, Kelvin

Business or Residence Address (Number and Street, City, State, Zip Code)

98-1277 Kaahumanu Street, #439, Aiea, HI 96701

Name of Associated Broker or Dealer

Strategic Financial Alliance Inc. (SFA)

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Kieffer, Tom

Business or Residence Address (Number and Street, City, State, Zip Code)

P.O. Box 6987, Lakeland, FL 33807

Name of Associated Broker or Dealer

Sigma Financial Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Opiteck, Robert

Business or Residence Address (Number and Street, City, State, Zip Code)

32674 Bingham Lane, Birmingham, MI 48025

Name of Associated Broker or Dealer

Sigma Financial Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Ruiz, Mario and Urbaniak, Jason 881749

Business or Residence Address (Number and Street, City, State, Zip Code)

8585 Broadway, Ste 680, Merrillville, IN 46410

Name of Associated Broker or Dealer

S.I.I. Investments

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Kovaleff, Theodore

Business or Residence Address (Number and Street, City, State, Zip Code)

110 Wall Street, 8th Floor, New York, NY 10005

Name of Associated Broker or Dealer

Sky Capital LLC

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Bernier, Brian

Business or Residence Address (Number and Street, City, State, Zip Code)

401 Edgewater Place, Suite 120, Wakefield, MA 01880

Name of Associated Broker or Dealer

Stonegate Partners, LLC

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Mara, Jack

Business or Residence Address (Number and Street, City, State, Zip Code)

401 Edgewater Place, Suite 120, Wakefield, MA 01880

Name of Associated Broker or Dealer
Stonegate Partners, LLC

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Reinking, Mark B.

Business or Residence Address (Number and Street, City, State, Zip Code)

RAM Financial Group, 5900 Southwest Parkway, Building 5, Suite 500, Austin, TX 78735

Name of Associated Broker or Dealer

Sunset Financial Services, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Curcio, Joseph A.

Business or Residence Address (Number and Street, City, State, Zip Code)

7 Broadway, Suite A, Freehold, NJ 07728

Name of Associated Broker or Dealer

Tower Square Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Shafe, Charles

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o The Shafe Group Inc., 531 Versailles Drive, Suite 201, Maitland, FL 32751

Name of Associated Broker or Dealer

TransAm Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Tuseo, Norbert

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Sunstate Marketing, 101 La Quinta Place, St. Augustine, FL 32084-4318

Name of Associated Broker or Dealer

TransAm Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

5185 Peachtree Parkway, Ste 280, Norcross, GA 30092

Name of Associated Broker or Dealer

Triad Advisors Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Sheikh, Mohammed Azeem

Business or Residence Address (Number and Street, City, State, Zip Code)

880 3rd Avenue, 12th Floor, New York, NY 10022

Name of Associated Broker or Dealer

V Finance Investments

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

485 E. Route 1 South, 4th Floor, Iselin, NJ 08830

Name of Associated Broker or Dealer

Walnut Street Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Bernier, Michael J.

Business or Residence Address (Number and Street, City, State, Zip Code)

Western Interl. Securities, 675 North 1st Street, Suite 150, San Jose, CA 95112

Name of Associated Broker or Dealer

Western International Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Harris, William V.

Business or Residence Address (Number and Street, City, State, Zip Code)

Century Advisors, 1633 W. Owen K. Garriott, Suite B, Enid, OK 73703

Name of Associated Broker or Dealer

Williams Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Diehl, David

Business or Residence Address (Number and Street, City, State, Zip Code)

c/o Diehl Wealth Mgmt. Group LLC, 314 Addyston Pointe, Saint Peters, MO 63376

Name of Associated Broker or Dealer

Workman Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Vollbrecht, Robert A.

Business or Residence Address (Number and Street, City, State, Zip Code)

6500 City West Parkway, Ste. 350, Eden Prairie, MN 55344

Name of Associated Broker or Dealer
Workman Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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